



## Archived Information

**Application for State Grants**

**for**

**Reading First**

**CFDA Number 84.357**

Form Approved

OMB No. 1810-0648

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# UNITED STATES DEPARTMENT OF EDUCATION

## READING FIRST PROGRAM

Number 84.357 in the Catalog of Federal Domestic Assistance

Date Funds Become Available: July 1, 2002

1. Legal Name of Applicant Agency (State Educational Agency):	2. Employer Identification Number (EIN):  _ _ _ - _ _ _ _ _ _ _ _
3. Applicant Address (include zip):	4. Contact Person  Name:  Position:  Telephone:  Fax:
5. To the best of my knowledge and belief, all data in this application are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.	
a. Typed Name and Title of Authorized Representative:	b. Tel. No.
c. Signature of Authorized Representative:	d. Date

## **STATE APPLICATION FOR READING FIRST**

### **Introduction**

The Reading First program focuses on putting proven methods of early reading instruction in classrooms. Through Reading First, States and districts will receive support to apply scientifically based reading research – and the proven instructional and assessment tools consistent with this research – to ensure that all children learn to read well by the end of third grade. The Reading First program will provide the necessary assistance to States and districts to establish research-based reading programs for students in kindergarten through third grade. Funds will also support a significant increase in professional development to ensure that all teachers have the skills they need to teach these reading programs effectively. Additionally, the program provides assistance to States and districts in preparing classroom teachers to screen, identify and eliminate reading barriers facing their students.

The Department will award funds for Reading First under the authority of Title I, Part B, Subpart 1 of the Elementary and Secondary Education Act, as amended by the No Child Left Behind Act of 2001. Congress appropriated \$900 million for Reading First in fiscal year 2002. Funds are allotted to States by formula according to the proportion of children aged 5 to 17 who reside within the State and are from families with incomes below the poverty line. Funds become available for obligation on July 1, 2002 and remain available through September 30, 2004.

Each State educational agency (SEA) will award subgrants to eligible local educational agencies (LEAs) on a competitive basis. In order to fulfill the intent of the legislation – to ensure that every student can read at grade level or above by the end of third grade – an SEA should develop selection criteria that distinguish among the quality of programs and approaches proposed by applicants. SEAs should fund those proposals that show the most promise for raising student achievement and for successful implementation, particularly at the classroom level. Only programs that are based on scientifically based reading research are eligible for funding through Reading First.

In awarding competitive grants to LEAs, SEAs must make awards that are of sufficient size and scope to enable LEAs to improve reading instruction. The amount awarded to each LEA must relate to the number or percentage of K-3 students in that LEA who are reading below grade level. In addition, the percentage of Reading First funds awarded to an LEA may not be less than the percentage that LEA received of the State's Title I Part A funds during the previous fiscal year. SEAs should also ensure that LEAs will distribute sufficient funding to eligible schools to implement effective reading programs.

Each SEA may reserve up to 20 percent of the Reading First funds it receives for State use. These funds will assist States in building and maintaining statewide capacity to effectively teach all children to read by third grade. States may expend up to 65 percent

of these reserved funds for activities related to professional and preservice development; up to 25 percent for technical assistance to local educational agencies and schools; and up to 10 percent for planning, administration and reporting. This unprecedented and significant level of funding will provide States with the resources and opportunity to extend this reading initiative and to improve reading instruction beyond the specific schools and districts that receive Reading First subgrants.

### **Components of Effective Reading Programs**

Scientifically based reading research has identified five essential components of effective reading instruction. To ensure that children learn to read well, explicit and systematic instruction must be provided in these five areas:

1. **Phonemic Awareness** – the ability to hear, identify and manipulate the individual sounds – phonemes—in spoken words. Phonemic awareness is the understanding that the sounds of spoken language work together to make words.
2. **Phonics** – The understanding that there is a predictable relationship between phonemes—the sounds of spoken language – and graphemes – the letters and spellings that represent those sounds in written language. Readers use these relationships to recognize familiar words accurately and automatically and to decode unfamiliar words.
3. **Vocabulary Development** – Development of stored information about the meanings and pronunciation of words necessary for communication.
4. **Reading Fluency, including oral reading skills** – Fluency is the ability to read text accurately and quickly. It provides a bridge between word recognition and comprehension. Fluent readers recognize words and comprehend at the same time.
5. **Reading Comprehension Strategies** – Strategies for understanding, remembering and communicating with others about what has been read. Comprehension strategies are sets of steps that purposeful, active readers use to make sense of text.

An effective reading program is one that coherently integrates:

- Screening, diagnostic and classroom-based **assessments** that are valid and reliable;
- **Instructional programs and aligned materials** that include explicit and systematic instruction in the five essential components of reading instruction;
- An aligned **professional development** plan; and
- Dynamic **instructional leadership**.

## **Application Instructions**

An SEA must submit an application to the Department to receive Reading First funding. SEA applications will be held to rigorous standards for approval. State plans must satisfactorily address all program requirements before the Department will award funds to States. The Department urges SEAs to submit their applications as soon as possible to maximize the amount of time available to obligate funds.

An expert panel will review applications according to the following projected schedule:

Application received by:	Expert review complete by:	Funds for approved applications released by:
May 1, 2002	May 24, 2002	July 1, 2002
May 15, 2002	June 7, 2002	July 1, 2002
May 29, 2002	June 21, 2002	July 1, 2002
June 12, 2002	June 28, 2002	As close to July 1, 2002 as possible
After June 12, 2002	Rolling basis	Rolling basis

While the Department will make every effort to arrange for expert review of applications as soon as they are submitted, the Department cannot ensure that approved applications received after May 29, 2002 will receive funding by July 1, 2002. The final deadline for submission of applications by SEAs is July 1, 2003.

There is no specific format that the application must follow. However, each application must provide the information below. The attached table, entitled *Reading First Review Criteria*, provides guidance on criteria that expert panel reviewers will use to determine whether State applications meet the necessary standard for funding. The table also includes examples of exemplary criteria, the implementation of which are expected to result in the highest quality Reading First programs. If a particular section of an application addresses more than one review criterion, it is not necessary to repeat that information under another heading.

1. **Improving Reading Instruction** – The SEA’s application describes the State’s rationale for using scientifically based reading research to improve classroom reading instruction in the State, and its plan for achieving that goal. This includes both the plan for subgranting Reading First funds to targeted LEAs and schools, as well as providing statewide professional development based on scientifically based reading research. The application must specifically address the following:
  - a. **Current Reading Initiatives and Identified Gaps (including REA)** – What initiatives (including Reading Excellence Act initiatives, where applicable) are currently in place in the State to improve K-3 reading

achievement? What gaps exist in these initiatives, particularly in their relationship to scientifically based reading research?

- b. **State Outline and Rationale for Using Scientifically Based Reading Research** – How will the SEA connect the scientifically based reading research to plans for improving K-3 reading instruction?
- c. **State Definition of Subgrant Eligibility** – Which local educational agencies will be eligible for Reading First subgrants?
- d. **Selection Criteria for Awarding Subgrants**
  - i. **Schools to be Served** – How will the subgrant selection process evaluate the criteria LEAs use to identify schools to be served through Reading First, as well as LEAs' capacity to support these schools?
  - ii. **Instructional Assessments** – How will the subgrant selection process evaluate the screening, diagnostic and classroom-based instructional assessments that LEAs and schools will use, including the validity and reliability of these assessments?
  - iii. **Instructional Strategies and Programs** – How will the subgrant selection process evaluate the instructional strategies and programs based on scientifically based reading research that LEAs and schools will use?
  - iv. **Instructional Materials** – How will the subgrant selection process evaluate the instructional materials based on scientifically based reading research that LEAs and schools will use?
  - v. **Instructional Leadership** – How will the subgrant selection process evaluate the instructional leadership that LEAs and schools will provide for their scientifically based reading programs?
  - vi. **District and School Based Professional Development** – How will the subgrant selection process evaluate the professional development plan related to their scientifically based reading program that LEAs and schools will implement?
  - vii. **District Based Technical Assistance** – How will the subgrant selection process evaluate the technical assistance LEAs will provide to participating schools relating to the implementation of Reading First?

- viii. **Evaluation Strategies** – How will the subgrant selection process evaluate the methods LEAs will use to assess the effectiveness of Reading First activities for the district as well as for individual participating schools? How will the subgrant selection process evaluate LEAs plans for using this outcome information to make decisions about continuation funding for participating schools?
  - ix. **Access to Print Materials** – How will the subgrant selection process evaluate the programs and strategies LEAs and schools will use to provide student access to engaging reading materials?
  - x. **Additional Criteria** – How will the subgrant selection process evaluate any additional uses of funds by LEAs and schools? What, if any, additional criteria will the SEA use in its subgrant selection process?
  - xi. **Competitive Priorities** – How will the subgrant selection process apply the required competitive priority? What, if any, additional competitive priorities will the SEA use in its subgrant selection process?
- e. **Process for Awarding Subgrants** – What process will the SEA use to award Reading First subgrants to eligible LEAs, including the number and size of anticipated subgrants, a timeline for the subgrant process, and a description of the review process? How will the SEA disseminate information about the Reading First program and the SEA’s subgrant process to eligible LEAs?
  - f. **State Professional Development Plan** – What is the SEA’s plan for professional development related to the Reading First program? How will teachers statewide receive professional development in the essential components of reading instruction, using scientifically based instructional strategies programs and materials, and using screening, diagnostic and classroom based instructional assessments?
  - g. **Integration of Proposed Reading First Activities with Reading Excellence Activities (where applicable)** – How will Reading Excellence activities be coordinated with Reading First activities? Will the SEA modify, expand or discontinue activities implemented through Reading Excellence?
- 2. **State Leadership and Management** – The SEA’s application describes the State’s plan for providing coherent leadership by 1) providing targeted LEAs and schools that receive Reading First subgrants with technical assistance in implementing strategies to improve reading instruction that are based on scientifically based reading research, and 2) building a statewide Reading

Leadership Team to coordinate State efforts to improve reading instruction, and with a leadership capability that approves and monitors the underlying scientific base of the instruction implemented by targeted districts and schools. The application must also demonstrate a feasible plan to effectively manage the State's Reading First program. The application must specifically address the following:

- a. **State Technical Assistance Plan** – How will the SEA provide technical assistance to LEAs and schools participating in Reading First? How will the SEA monitor the progress of participating LEAs and schools?
  - b. **Building Statewide Infrastructure** – How will the SEA use Reading First to build statewide commitment to improving K-3 reading instruction and raising K-3 reading achievement? What leadership at the SEA will be dedicated to Reading First? Has the State established a Reading Leadership Team?
  - c. **State Management Plan** – What staff will the SEA provide for the administration of the Reading First program? What is the timeline for carrying out activities related to the administration of the Reading First program? How will resources be used to implement the Reading First program?
3. **State Reporting and Evaluation** – The SEA's application describes the strategies the State will use to evaluate the effectiveness of its Reading First program and to report required information annually. The application explains how the SEA will effectively monitor the academic impact of Reading First on subgrant LEAs, and the steps the SEA will take in the event of inadequate academic progress. The application must specifically address the following:
  - a. **Evaluation Strategies** – How will the SEA evaluate the progress participating LEAs are making in improving reading achievement? How will the SEA use evaluation data to make decisions about continuation funding to LEAs?
  - b. **State Reporting** – How will the SEA meet all of its Reading First reporting requirements?
  - c. **Participation in National Evaluation** – Will the SEA and subgrant LEAs, if asked, participate in the national evaluation of the Reading First program?
4. **Classroom Level Impact** – The SEA's application describes how the many facets of its Reading First plan will result in improved classroom reading instruction. The application includes the SEA's vision for how a Reading First classroom will look and demonstrates the integration and coherence among the



many components of the plan. The application must specifically address the following:

- a. **Key Reading First Classroom Characteristics** – What is the SEA’s vision for how a Reading First classroom will look?
- b. **Coherence** – How will the SEA demonstrate that all activities are based on scientifically based reading research and integrated in a coherent manner? Note: Although reviewers will evaluate the overall coherence of the SEA’s plan, applicants need not specifically address this topic as a separate section of the application.

Each application must also include the information on the application cover sheet and the Assurances and Certifications page, both signed by the authorized SEA representative.

The application with original signatures and two copies must be submitted by July 1, 2003 to:

Reading First  
Office of Elementary and Secondary Education  
U.S. Department of Education  
400 Maryland Avenue, SW  
Washington, DC 20202-6201  
Attn: Christopher Doherty

**Reading First Estimated State Allocations  
As of April 1, 2002**

<b>State</b>	<b>FY 2002 Reading First Allocation</b>
Alabama	\$ 15,586,984
Alaska	2,158,750
Arizona	17,699,993
Arkansas	9,885,535
California	132,972,937
Colorado	9,001,635
Connecticut	7,392,983
Delaware	2,158,750
District of Columbia	2,158,750
Florida	45,638,330
Georgia	27,838,020
Hawaii	2,759,438
Idaho	3,392,098
Illinois	32,809,085
Indiana	12,908,193
Iowa	5,753,307
Kansas	6,399,468
Kentucky	13,742,471
Louisiana	19,216,464
Maine	2,612,181
Maryland	11,345,141
Massachusetts	15,301,143
Michigan	28,473,719
Minnesota	9,678,552
Mississippi	11,105,435
Missouri	14,908,815
Montana	2,941,386
Nebraska	3,024,000
Nevada	4,036,470
New Hampshire	2,158,750
New Jersey	18,426,354
New Mexico	8,390,433
New York	68,449,761
North Carolina	20,739,819
North Dakota	2,158,750
Ohio	26,895,020
Oklahoma	12,536,251
Oregon	7,395,755
Pennsylvania	28,110,897
Puerto Rico	27,318,495
Rhode Island	2,477,709

<b>State</b>	<b>FY 2002 Reading First Allocation</b>
South Carolina	13,639,293
South Dakota	2,201,077
Tennessee	14,372,449
Texas	79,005,865
Utah	4,661,709
Vermont	2,158,750
Virginia	16,916,142
Washington	13,181,965
West Virginia	6,128,379
Wisconsin	11,117,594
Wyoming	2,158,750
Bureau of Indian Affairs	4,500,000
Outlying Areas	4,500,000

### **Subgrant Identification Report**

This package also contains the Subgrant Identification Report. Each SEA will need to complete the report as soon as it makes subgrant awards. If an SEA makes awards on a rolling basis or in multiple rounds, the SEA should submit the relevant information as it makes awards. The Department will forward to SEAs additional information on submitting this report electronically.

The Subgrant Identification Report should be sent to:

Reading First  
Office of Elementary and Secondary Education  
U.S. Department of Education  
400 Maryland Avenue, SW  
Washington, DC 20202-6201  
Attn: Sandi Jacobs

**Reading First  
Subgrant Identification Report**  
(A separate form should be completed for each LEA that receives funding.)

District Name	
Education Agency ID Code (NCES)	
District Contact (Contact name, address, phone number, email)	
Award Amount	
Award Date	
Percentage of K-3 students reading below grade level*	
District Poverty Rate	
Description of Reading First program	
For each participating school:	
School Name	

School Contact	
Title I School? If so, targeted-assistance or schoolwide?	
Identified for Improvement under Title I?	
Charter School?	
Percentage of K-3 students reading below grade level*	
Poverty Rate	

\*If K-3 reading achievement data are not available, report the closest grade for which data are available.

## ASSURANCES AND CERTIFICATIONS

The State educational agency (SEA) hereby declares that it has filed the following assurances and certifications with the U.S. Department of Education, and, as of the date of the signature below, reaffirms and incorporates by reference those assurances and certifications with respect to the **Reading First Program**. The SEA certifies that no circumstances affecting the validity of these assurances have changed since their previous filing.

- As applicable, the assurances in OMB Standard Form 424B (Assurances for Non-Construction Programs), relating to legal authority to apply for assistance; access to records; conflict of interest; merit systems; nondiscrimination; Hatch Act provisions; labor standards; flood insurance; environmental standards; wild and scenic river systems; historic preservation; protection of human subjects; animal welfare; lead-based paint; Single Audit Act; and general agreement to comply with all Federal laws, executive orders and regulations.
- The three certifications in ED Form 80-0013, regarding lobbying, debarment/suspension/responsibility status, and drug-free workplace. (A copy of the related debarment/suspension/responsibility assurances that the State is required to obtain from subgrantees and maintain on file (ED Form 80-0014) is attached for the SEA's information.)
- With respect to the Certification Regarding Lobbying, the SEA recertifies that no Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making or renewal of Federal grants under this program; that the SEA shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," when required (34 C.F.R. Part 82, Appendix B); and that the SEA shall require the full certification, as set forth in 34 C.F.R. Part 82, Appendix A, in the award documents for all subawards at all tiers.

The SEA further agrees to:

- The certifications in the Education Department General Administrative Regulations (EDGAR) §76.104, relating to State eligibility, authority and approval to submit and carry out the provisions of its State plan, and consistency of that plan with State law.
- The assurances in section 9304 of the Elementary and Secondary Education Act (ESEA), in accordance with the SEA's consolidated plan.

Name of Applicant:	Program:
Printed Name and Title of Authorized Representative of the State:	
Signature:	Date:

